01-11-02

DOCKET NO. YOR920010539US1
(590.076)

RENCE & ASSOCIATES
ATENT FILING TRANSMITTAL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Commissioner of Patents and Trademarks
Washington, D.C. 20231

PATENT FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of: Upendra V. Chaudhari, Jiri Navrfatil and Ganesh N. Ramaswamy

For: EFFICIENT RECURSIVE CLUSTERING BASED ON A SPLITTING FUNCTION DERIVED FROM SUCCESSIVE EIGEN-DECOMPOSITIONS

which is to be assigned to IBM Corporation, Armonk, New York, and who should be listed on any patent application publication as the Assignee of this application.

TYPE OF FILING

This new patent application is for a(n):

[X]   Utility
[ ]   Design
[ ]   Plant
[ ]   Divisional
[ ]   Continuation
[ ]   Continuation-in-part

Benefit of a prior filed application

[ ]   This application claims the benefit of an earlier filed U.S. Patent Application under 35 USC 120.
[ ]   Please accord Applicant the benefit of the priority date of _____ to this case pursuant to 35 USC 119. Applicant's claim for priority is based on application _____ filed in _____on that date.

Filing under 37 CFR 1.53 (Utility) or 37 CFR 1.153 (Design)

[X]   This is an application filed pursuant to 37 CFR 1.53 or 37 CFR 1.153, permitting receipt of a filing date upon filing of a specification, at least one claim and necessary drawings.
[X]   In the event any parts of this application are incomplete, please treat this as a filing under 37 CFR 1.53 or 37 CFR 1.153.

ENCLOSURES

[X]   9 - pages of written description;
[X]   6 - pages of claims;
[X]   1 - pages of abstract;
[ ]   ___ - sheets of formal drawings;
[X]   2 - sheets of informal drawings;
[X]   Declaration and Power of Attorney or listing of inventors;
and
[X]   Two postcards for return to us as proof of receipt of the above documents.

plus

FERENCE & ASSOCIATES
PATENT FILING TRANSMITTAL

DOCKET NO. YOR920010539US1
(590.076)

[X] An Assignment of the invention to IBM Corporation and an Assignment cover sheet;
[ ] Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))
[ ] Form PTO-1449 (IDS) and two copies of the references listed thereon;
[ ] A certified copy of _____(country) patent application number _____ (priority document).
[ ] A preliminary amendment;
[ ] Declaration of Biological Deposit;
[ ] Submission of sequence listing, computer readable copy and/or amendment relating thereto for biotechnology invention containing nucleotide and/or amino acid sequence;
[ ] An associate power of attorney;
[ ] Other.

DECLARATION OR OATH

The enclosed Declaration or Oath has been executed by:
[X] Inventor(s);
[ ] Legal representative of the inventors (37 CFR 1.42 or 1.43);
[ ] Joint inventor or person showing proprietary interest on behalf of an inventor who refused to sign or who cannot be reached and this is a petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is attached;
[ ] Has not been executed and is enclosed for the purposes of identifying the inventors.

INVENTORSHIP STATEMENT

The inventorship for all the claims in this application is:
[X] the same;
[ ] not the same and, as an explanation, a statement is/ will be submitted.

LANGUAGE

The application submitted herewith is:
[X] in English;
[ ] in not in English and in terms of 37 CFR 1.52(d) a verified translation is
    [ ] attached
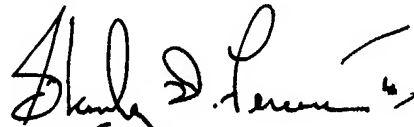   [ ] not attached.

FEE CALCULATION

The filing fee has been calculated as shown below:

	SMALL ENTITY	OR	OTHER THAN A SMALL ENTITY	
BASIC FEE Design Patent	$165	$	$330	$
BASIC FEE Utility Patent	$370	$	$740	$740
EXTRA FEES	RATE	FEE	RATE	FEE
TOTAL CLAIMS 21 MINUS 20 = 1	x 9=	$0	x18=	$18
INDEP. CLAIMS 3 MINUS 3 = 0	x 42=	$0	x84=	$
[ ] MULTIPLE DEP.CLAIM	+140=	$	+280=	$
[X] ASSIGNMENT	+ 40=	$	+40=	$40
[ ] RULE 53 SURCHARGE	+ 65=	$	+130=	$
TOTAL		$		$798

FEE PAYMENT

[ ]   Attached is Check No._____ in the sum of $_____ to cover the filing fee and, if applicable, the assignment fee.

[X]   Please charge **IBM Corporation Deposit Account No. 50-0510** the amount of $798.00, to cover the filing fee. Duplicate copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 50-0510** as required to correct the error.

Respectfully submitted,

Dated: January 4, 2002

Stanley D. Ference III
Reg. No. 33,879

FERENCE & ASSOCIATES
129 Oakhurst Road
Pittsburgh, Pennsylvania 15215
(412) 781-7386
(412) 781-8390-Facsimile

Docket No. YOR920010539US1
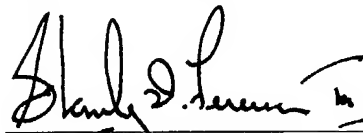(590.076)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	: Chaudhari, et al.	Group Art: not yet assigned
Serial No.	: not yet assigned	Examiner: not yet assigned
Filed	: herewith	
For	: EFFICIENT RECURSIVE CLUSTERING BASED ON A SPLITTING FUNCTION DERIVED FROM SUCCESSIVE EIGEN-DECOMPOSITIONS	

EXPRESS MAIL CERTIFICATE

Express Mail Label No.   **EL 765475512 US**

Date of Deposit ____4 January 2002____

I hereby certify that the following attached paper(s) or fee:

> Patent Application
>> Written Description
>> Claims 1-21
>> Abstract
>> Drawings (Figs. 1-3)
> Declaration and Power of Attorney
> Assignment with (duplicate) Recordation Form Cover Sheet
> Patent Filing Transmittal (in duplicate)
> Certificate of Express Mail
> Two Return Postcards

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service

under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for

Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231

Stanley D. Ference III
(Typed or printed name of
person mailing paper)

(Signature of person mailing
paper(s) or fee)

Mailing Address:

FERENCE & ASSOCIATES
129 Oakhurst Road
Pittsburgh, Pennsylvania 15215
(412) 781-7386
(412) 781-8390-Facsimile